



DOCKET NO.: 03AB014A/ALBRP303USA

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **David D. Brandt et al.**  
Serial No.: **10/661,239**  
Filed: **September 12, 2003**  
For: **SYSTEM AND METHODOLOGY PROVIDING AUTOMATION SECURITY  
ARCHITECTURE IN AN INDUSTRIAL CONTROLLER ENVIRONMENT**  
Art Unit: **2121**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☐ Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.


- (d) ☐ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☐ Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
- (i) ☐ Enclosed is a check covering the fee;
- (ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (iii) ☐ Enclosed is a credit card payment form covering the fee.
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
- (1) ☐ Enclosed is a check covering the fee;
- (2) ☐ Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
- (3) ☐ Enclosed is a credit card payment form covering the fee.

4. Certification (if applicable)

- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

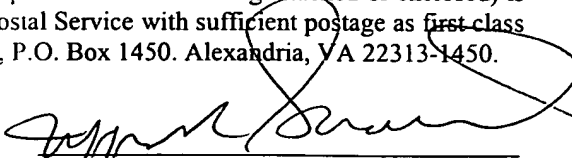
By   
Jeffrey R. Sadlowski  
Reg. No. 47,914

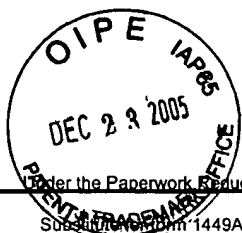
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Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

12-20-2005  
Date

  
Jeffrey R. Sadlowski



PTO/SB/08a (08-03)  
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Subsection 1449A/PTO

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

of

2

### Complete if Known

Application Number	10/661,239
Filing Date	September 12, 2003
First Named Inventor	David D. Brandt
Art Unit	2121
Examiner Name	Unknown
Attorney Docket Number	03AB014A/ALBRP303USA

### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,298,445 B1	10-02-2001	Adam Shostack et al.	
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### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/661,239
				Filing Date	September 12, 2003
				First Named Inventor	David D. Brandt
				Art Unit	2121
				Examiner Name	Unknown
Sheet	2	of	2	Attorney Docket Number	03AB014A/ALBRP303USA

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		European Search Report dated October 7, 2005 mailed November 3, 2005 for European Patent Application Serial No.03023916.4 - 2413 PCT, 3 Pages.	
		H.S. TENG et al., Adaptive Real-Time Anomaly Detection Using Inductively Generated Sequential Patterns, Proceedings of the Symposium on Research in Security and Privacy, Oakland, May 7-9, 1990, pages 278-284, Los Alamitos, IEEE Comp. Soc. Press, US.	
		H. DEBAR et al., A Neural Network Component For an Intrusion Detection System, Proceedings of the Computer Society Symposium on Research in Security and Privacy, Oakland, May 4-6, 1992, pages 240-250, 1992, Los Alamitos, IEEE Comp. Soc. Press, US.	
		European Search Report dated October 31, 2005 mailed November 15, 2005 for European Patent Application Serial No. 03023911.4 - 2413, 3 Pages.	
		P. OMAN et al., Concerns About Intrusions Into Remotely Accessible Substation Controllers and Scada Systems, 2000, 16 pages, retrived from the Internet: URL: <a href="http://citeseer.ist.psu.edu/cache/papers/cs/26811/http:zSzzSzwwww.csd.s.uidaho.edu/zSzdiretorzSzSCADA.pdf/oman00concerns.pdf">http://citeseer.ist.psu.edu/cache/papers/cs/26811/http:zSzzSzwwww.csd.s.uidaho.edu/zSzdiretorzSzSCADA.pdf/oman00concerns.pdf</a>	
		VERANO, Defender Watches Over Industrial Control Networks, August 10, 2003, 2 pages, retrived from the Internet: URL: <a href="http://web.archive.org/web/20030810201511/http://www.engineeringtalk.com/news/vra/vra102.html">http://web.archive.org/web/20030810201511/http://www.engineeringtalk.com/news/vra/vra102.html</a> .	

Examiner Signature		Date Considered	
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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.  
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